

Schedule 43-10

DEPARTMENT OF ADMINISTRATIVE SERVICES CHIEF INFORMATION OFFICE AND NEBRASKA INFORMATION TECHNOLOGY COMMISSION

NOVEMBER 20, 2003

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

SCHEDULE

43-10

AGENCY, BOARD OR COMMISSION

DEPARTMENT OF ADMINISTRATIVE SERVICES
DIVISION, BUREAU OR OTHER UNIT

**CHIEF INFORMATION OFFICE and
NEBRASKA INFORMATION TECHNOLOGY
COMMISSION**

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

Steven Schafar
CIO

DATE

11-1-2003

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

Andrea I. Falgout

STATE ARCHIVIST

DATE

Nov. 13, 2003

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

Jim A. Valle
STATE RECORDS ADMINISTRATOR

DATE

11-20-03

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, regardless of the media on which they reside. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 43-10 – CHIEF INFORMATION OFFICER

FORWARD

This document constitutes this division's policies for storing and disposing of public records. This schedule applies to all public records under the control of this division, regardless of the media on which they reside. Unless otherwise listed in this document, this schedule incorporates by reference the Records Retention Schedule 124 by the State Records Administrator. This schedule does not apply to "nonrecord" material as described in section 124-5 of Schedule 124 or to documents in the possession of this division, which are copies of records generated, owned, and distributed by other entities.

Pursuant to Section 84-1207 (3), the purpose of this records retention schedule is to identify the minimum length of time that each record series warrants retention for administrative, legal, historical, or fiscal purposes.

43-10-1 CHARTERS

A document containing the purpose, sponsor, scope/boundaries, responsibilities and objectives of an established committee or workgroup. Charters that the State Archivist wishes to add to the State Archives must be in paper or microfilm format.

ELECTRONIC DATA: Backup daily; dispose of after superseded.²

SECURITY BACKUP COPY: Dispose of after superseded.³

GROUPS DIRECTLY CHARTERED BY THE NITC: Print to permanent paper and transfer to the State Archives; retain permanently.⁴

43-10-2 CONTRACTS

Legally binding agreements establishing rights and responsibilities between two or more parties.

PAPER: Dispose of 5 years after completion, fulfillment or voiding of the contract, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily; dispose of 5 years after completion, fulfillment or voiding of the contract, provided audit has been completed.^{1, 2}

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed, provided audit has been completed.^{1, 3}

43-10-3 GRANT REVISIONS, EVALUATIONS, SUMMARIES AND OTHER RECORDS

May include a general form to complete for grant submission, a list of applications received giving the submitting agency name, project title and narrative, grant request, match, total cost, etc., and rejection and award letters, thank you notes and other correspondence sent out during the grant process, and a list of requirements or prerequisites to be eligible for a grant, as well as goals, deadlines, narratives of eligible/ineligible activities, expected range or awards, match requirement, length of project, format, procedures and review processes. This schedule includes reviewer's scores and comments on each grant proposal and brief comments covering the main points of each grant.

ELECTRONIC DATA: Backup daily; dispose of 5 years after final activity, provided audit has been completed.^{1, 2}

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed, provided audit has been completed.^{1, 3}

43-10-4 INFORMATION TECHNOLOGY PROJECT REVIEW DOCUMENTS

Documentation of the review or examination of project to determine its strengths and weakness, and overall merit.

ELECTRONIC DATA: Backup daily; dispose of after 3 years.²

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

43-10-5 INFORMATION TECHNOLOGY PROPOSAL FORM

A general form that outlines the information needed to submit a proposal. This form is completed by the agency submitting the proposal and submitted for review.

ELECTRONIC DATA: Backup daily; dispose of after superseded.²

SECURITY BACKUP COPY: Dispose of after superseded.³

43-10-6 INTERNAL BRIEFING REPORTS

A summary of current research and/or legislation to brief individuals on a topic of interest. For internal state government use.

ELECTRONIC DATA: Backup daily; dispose of after 3 years.²

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

43-10-7 NEBRASKA INFORMATION TECHNOLOGY COMMISSION (NITC) REPORTS TO LEGISLATURE

The purpose of this report is to bi-annually summarize the NITC's activities and actions regarding the duties specified in State Statutes, and to provide documentation useful to the Legislature as it performs its mandated review of the Commission (pursuant to section 86-1514).

ELECTRONIC DATA: Backup daily; dispose of after 3 years²; print to permanent paper and transfer to the State Archives; retain permanently.⁴

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

43-10-8 NITC CLEARINGHOUSE

Web-based repository of information, resources, and links pertaining to information technology.

ELECTRONIC DATA: Backup daily; dispose of after superseded.²

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

43-10-9 NITC, ADVISORY GROUPS, AND OTHER WORK GROUPS WEBSITES AND DOCUMENTS

Web-based repositories about NITC, Councils, Workgroups, Ad-hoc Groups and special projects, including agendas, minutes, memberships lists, and other documents pertaining to the activities of NITC and its advisory groups. Includes Councils, Tech Panel, and ad-hoc groups such as the DNR study.

Includes the CHILDREN HAVE A RIGHT TO SUPPORT/STATE DISBURSEMENT UNIT (CHARTS / SDU) INTEGRATION STEERING COMMITTEE INTRANET SITE, an intranet site that harbors information about the committee, members, meetings, independent verification and validation, project status reports, treasurer reports and other documents that pertain to the committee and its responsibilities; HHSS: Health Insurance Portability and Accountability Act (HIPAA) INTRANET SITE, intranet site that harbors information about the committee, charter, meetings, documents and external links that pertain to the committee and its responsibilities.

ELECTRONIC DATA: Backup daily; dispose of after 3 years.²

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

AGENDAS, MINUTES, and FINAL VERSIONS OF OFFICIAL REPORTS:

ELECTRONIC DATA: Backup daily; dispose of after 3 years.²

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

NITC COMMISSION: Print to permanent paper and transfer to the State Archives; retain permanently.⁴

DRAFT DOCUMENTS, LINKS TO OTHER DOCUMENTS, and ALL OTHER INFORMATION:

ELECTRONIC DATA: Backup daily; dispose of after superseded or no longer of reference value, whichever is later.²

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

43-10-10 NITC.news

An electronic newsletter issued monthly to individuals interested in current information technology in the areas of government, education, and community.

ELECTRONIC DATA: Backup daily; dispose of after 3 years²; transfer one copy of each issue on permanent paper to the Publications Clearinghouse, C/O Nebraska Library Commission; retain permanently.⁴

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

43-10-11 PROJECT STATUS REPORTS

Quarterly reports of the status or current position of a project. These reports may include information such as a contact person and their information, project title, and reporting period. The report may also include a financial report and schedule, current issues with the project, and plans for the next reporting period.

ELECTRONIC DATA: Backup daily; dispose of after 3 years.^{1, 2}

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.^{1, 3}

43-10-12 STATEWIDE TECHNOLOGY AND STRATEGIC PLANS

A comprehensive technology plan compiled by the NITC, the Statewide Technology Plan sets forth responsibilities and priorities of technical advisory groups. The technology plans include an executive summary, goals, coordination of information technology advisory groups, technical infrastructure, planning and project management, and the implementation plans and action items. This schedule includes the eGovernment Strategic Plan and other plans adopted by the NITC that guide the information technology activities of state agencies and other entities.

ELECTRONIC DATA: Backup daily; dispose of after 3 years²; print to permanent paper and transfer to the State Archives; retain permanently.⁴

SECURITY BACKUP COPY: Maintain a current backup copy until the original record is disposed.³

NOTES

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question either resolution is complete.

2. ELECTRONIC DATA: All electronic data is stored on the SON server at IMServices and is backed up as required.

3. SECURITY COPY: The retention schedule/disposal date of the security copy is maintained by IMServices. Their security copy backup schedule is as follows: incremental backups will be run every Monday, Tuesday, Wednesday and Thursday, full backup will be run every Friday and the last working day of the month, daily tapes are kept for one month and on the last working day of the month a full backup is run and is kept for one year.

4. PERMANENT PAPER. ANSI/NISO Z39.48-1992 (R2002): Permanence of Paper for Publications and Documents in Libraries and Archives. This standard sets the criteria for coated and uncoated paper. It covers pH value, tear resistance, alkaline reserve and lignin threshold.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal size	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load	50 cubic feet